



State of California

Employment Training Panel

Arnold Schwarzenegger, Governor

May 14, 2008

Sadie Hess, Partner
COMPASS
2124 Market Street
Redding, CA 96001

Dear Ms. Hess:

RE: FINAL MONITORING VISIT REPORT for COMPASS – ET07-0110

Date of the Visit:	May 7, 2008
Beginning/Ending Time:	9:30 a.m. – 11:00 a.m.
Date of Last Visit:	February 27, 2008
Visit Location:	2570 S. Bonnyview Road, Redding
Persons in attendance:	Karen Magdaleno, Director's Assistant/Office Manager, COMPASS; Sallyanne Monti, Senior Consultant; and Kay Summerfield, Program Analyst, Employment Training Panel (ETP)
Action Required:	NO

CONTRACT INFORMATION:

Term of Agreement:	08/01/06 – 07/31/08	Agreement Amount:	\$75,600
Training Start Date:	August 1, 2006	No. to Retain:	27
Date Training must be Completed:	April 30, 2008	Range of Hours:	24-140
Type of Trainee:	Retrainee	Weighted Ave. Hours:	140

FINAL REPORT SUMMARY:

SACRAMENTO CENTRAL OFFICE
1100 J Street, 4th Floor
SACRAMENTO, CA 95814
(916) 327-5640

N. HOLLYWOOD REGIONAL OFFICE
4640 Lankershim Blvd., Suite 311
NORTH HOLLYWOOD, CA 91602
(818) 755-1313

S.F. BAY AREA REGIONAL OFFICE
1065 East Hillsdale Blvd, Suite 415
FOSTER CITY, CA 94404
(650) 655-6930

SAN DIEGO REGIONAL OFFICE
5353 Mission Center Road, Suite 110
SAN DIEGO, CA 92108
(619) 686-1920

www.etp.ca.gov
ETP (04/15/05)

HISTORY OF AGREEMENT CHANGES

The Agreement was executed on August 7, 2008 and training began on August 1, 2006. Your staff reported that all training was completed by April 30, 2008, which ensured the 90-day retention period will be completed within the term of the Agreement.

ETP approved Revision 1 on August 16, 2008, added an additional office in Santa Clara County.

INTERVIEW WITH THE SIGNATORY, Karen Magdaleno, Directors Assistant/Office Manager

- **What barriers, if any, did your company experience in implementing your ETP project?**

There were no barriers implementing our ETP project.

- **What problems, if any, did your company experience with ETP record keeping?**

We did not experience any problems with ETP recordkeeping

- **What assistance could ETP have provided that would improve the process for future Contractors?**

ETP provided excellent guidance and expertise during the entire process.

- **How did your company benefit from the ETP training?**

Our company was able to upgrade the technical skills of our workforce to meet competition in our industry as well as implement continuous improvement practices that resulted in increased efficiencies and lower costs.

PROJECT STATUS PROVIDED BY THE CONTRACTOR:

Trainees Enrolled:	32	Total Agreement Hours:	3,780
Dropped Following Enrollment:	4	Training Hours Recorded:	2,440*
Completed Training:	28	Training Hours Potentially Reimbursable:	2,440*
Completed Retention Period:	15	Completed Minimum Hours for Reimbursement:	19
In Retention Period:	13	Completed Maximum Hours for Reimbursement:	13

*Ms. Monti advised Ms. Summerfield that there are a few training records that need to be entered into ETP's on-line tracking system. These hours will be entered within the next two weeks.

According to your records and ETP's On-Line Tracking System at the time of this final meeting, you expect to retain a total of 22 trainees (81% percent of planned retentions) for a total reimbursement of \$48,800, (65 percent of the encumbered amount). Again, Ms. Monti advised Ms. Summerfield that there are a few training records that need to be entered into ETP's on-line tracking system. These will be entered and the final invoice will be submitted no later than August 30, 2008. Ms. Monti anticipates earning closer to 70 percent of the encumbered amount.

ATTENDANCE ROSTERS:

Ms. Summerfield reviewed 100 percent of the rosters for ten trainees in Job 1 and two trainees in Job 2. All rosters reviewed met Panel requirements for documenting this training. This finding is based only on the training records reviewed during this visit and represents only a sampling of the training records completed to date. It is your responsibility to ensure that all training records are in compliance with Panel requirements for auditing purposes.

AUDIT:

COMPASS will be notified in writing if this agreement is selected for an audit that will be conducted either at your site (field audit) or by telephone if selected for a desk audit or "review". These notifications will be sent in advance to allow ample preparation time and will include a list of documentation that will be examined by the auditor. A list of the documentation typically examined during an audit will be included along with the Audit Notification and Audit Confirmation letters. To provide support of training, original training attendance documentation is required; photocopied records are not acceptable. Listed below are types of records typically requested during an ETP field audit:

- Training attendance records such as rosters, sign-in sheets, etc.
- Payroll records of individual trainees to verify wage and hours worked during training
- Personnel records regarding occupation and dates of employment
- Documentation of employer paid health benefits (if applicable)
- Cash receipts to verify receipt and accounting of ETP funds

RECORD RETENTION:

Records must be retained within your control and be available for review at your place of business within the State of California. This responsibility will terminate no sooner than four (4) years from the date of the termination of the Agreement or three (3) years from the date of the last payment by ETP to the Contractor, or the date of resolution of appeals, audits, claims, exceptions, or litigation, whichever is later.

If you have any questions or concerns regarding this report, please contact Kay Summerfield at 916-813-8386 or at ksummerfield@etp.ca.gov within ten days of receiving this letter.

Sincerely,

A handwritten signature in black ink that reads "Ruby Cohen". The script is fluid and cursive.

Ruby Cohen, Manager
Sacramento Regional Office

A handwritten signature in black ink that reads "Kay Summerfield". The script is fluid and cursive.

Kay Summerfield, Contract Analyst
Sacramento Regional Office

cc: Sallyanne Monti, Consultant (sallyannemonti@yahoo.com)

David Guzman, Director, Program Operations
Kulbir Mayall, Manager, Fiscal and Certification
Master File
Project File